
Bay Area Freeway Concept of Operations



Public Agency Review Plan

Deliverable No. 2

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1. INTRODUCTION

Caltrans District 4 (Caltrans), California Highway Patrol Golden Gate Division (CHP), and Metropolitan Transportation Commission (MTC) have undertaken the Bay Area Freeway Concept of Operations Project (ConOps Project) to document and improve existing policies, procedures, and practices for the Bay Area freeway operations activities associated with recurring congestion, incident response, and traveler information systems. The first phase of the ConOps Project will document and identify potential improvements to these policies, procedures, and practices, especially those that require interactions among the regional agencies and result in an Action Plan to guide future phases of the ConOps Project.

The key components of the Bay Area Freeway Management systems include congestion management, incident management, and traveler information systems, all of which involve coordination among the local agencies. The three regional agencies have the lead responsibilities for the key areas of freeway operations; generally, Caltrans is responsible for congestion management, California Highway Patrol for incident management, and MTC for traveler information and roadside assistance programs. As such, these activities require continuous coordination with other agencies, including police and fire departments, transit agencies, traffic engineering departments, congestion management agencies, coroner's offices, and other transportation service providers.

The regional agencies have selected Kimley-Horn and Associates, Inc. (Kimley-Horn) to undertake this study and to develop an Action Plan to improve the freeway operations and coordination among the three regional agencies and other local agencies in the Bay Area. Project reviews and direction to the Consultant will be provided through meetings with the Technical Advisory Committee (TAC) and Executive Committee. The TAC is comprised of staff members from each agency, and the Executive Committee is comprised of the Caltrans District Director, CHP Division Chief and MTC Executive Director.

This Deliverable No. 2 describes how the information coming from this project will be made available to interested stakeholders for review, discussion, and comment, as well as how the review process that will take place at the TAC and Executive Committee levels. The plan includes the means to accommodate different levels of interest by various stakeholders and decision-makers.

1.1 Project Objectives

The objectives of the Bay Area Freeway Concept of Operations project are to 1) build a consensus regarding roles, responsibilities, and resources for Freeway Operations; 2) document and improve existing Freeway Operations policies, procedures and practices; and 3) develop a multi-year Action Plan for improving Freeway Operations. To achieve these objectives, there are three specific steps that will be undertaken:

- Document existing policies, procedures and practices;
- Prepare a *Freeway Operations Strategy Report* that will address key institutional and technical issues, and recommend the future direction for real-time Freeway Operations; and
- Develop a consensus Action Plan for improving freeway operations by enhancing existing individual agency practices and integrating future joint procedures.

1.2 Study Procedure

This project has been divided into five tasks as outlined below:

- Task 1 – Refine Goals, Workscope and Schedule: This task includes development of a Public Agency Review Plan, articulating the vision, goals and measurable objectives for the ConOps Project. This task may include revisions to the project scope and schedule based on changed circumstances (failure of SB 1995, work on statement of goals and objectives and Public Agency Review Plan, etc.) and input from the TAC and Executive Committee.
- Task 2 – Inventory Policies, Practices and Resources: This task includes development of a framework, methodology and field testing of the inventory procedures. Once the field test results are evaluated, a full inventory of current policies, procedures, practices and resources for the regional agencies, as well as 15 local agency departments, will be conducted.
- Task 3 – Key Institutional and Technical Issues: This task involves identification and documentation of key institutional and technical issues that will affect freeway operations in the future. These issues will be considered when developing the recommendations for the Concept of Operations.
- Task 4 – Freeway Operations Strategy: This task involves developing conclusions and recommendations for freeway operations. Specifically, this task will develop a *Freeway Operations Strategy Report* that will address key institutional and technical issues and define the future direction for freeway operations, including defining the freeway portions of the regional ITS architecture.
- Task 5 – Action Plan: This task involves preparation of an Action Plan for the regional agencies to improve coordination and communications between the three regional agencies and other agencies and stakeholders. The Action Plan will also outline specific steps to achieve these goals to maintain optimum freeway operations in the Bay Area.

1.3 Deliverables and Project Schedule

Table 1 presents the expected deliverables and delivery dates for the project:

Table 1 – Project Deliverables and Schedule

Deliverable	Estimated Completion Date
Draft Public Agency Review Plan	November, 2000
Final Public Agency Review Plan	February 2001
Draft Statement of Vision and Goals	November, 2000
Draft Statement of Vision, Goals, and Objectives	January 2001
Final Statement of Vision, Goals, and Objectives	February 2001
Revised Scope of Work and Schedule	March 2001
Draft Data Collection Plan	March 2001

Table 1 – Project Deliverables and Schedule (continued)

Deliverable	Estimated Completion Date
Preliminary Inventory of Freeway Operations	April 2001
75% Inventory	June 2001
Draft Inventory of Freeway Operations	July 2001
Final Inventory of Freeway Operations	August 2001
Key Institutional and Technical Issues Technical Memo	July 2001
Draft Summary and Conclusions	August 2001
Final Summary and Conclusions	September 2001
Freeway Operations Strategy	September 2001
Freeway Operations Strategy	October 2001
Action Plan	October 2001

1.4 Project Coordination

Kimley-Horn will work in a close and cooperative manner with staff from the regional agencies, treating all three agencies as equal partners in this project. Kimley-Horn also will obtain input from a variety of local agency departments, including police, fire, coroner, and traffic engineering departments.

2. REGIONAL AGENCIES REVIEW PROCESS

The regional agencies will be part of a review process through the two existing committees that will oversee this project. This process is described below.

2.1 Committee Composition

There are two levels of internal review for this project: the Technical Advisory Committee and the Executive Committee. These two committees currently meet monthly.

2.2 Review Process

Kimley-Horn will prepare and submit a Draft and a Final version of each deliverable for each task. The Draft Deliverable initially will be submitted to MTC for distribution to the Technical Advisory Committee approximately two weeks prior to the TAC meetings.

Kimley-Horn will meet with the Technical Advisory Committee and the Executive Committee at their regularly-scheduled monthly meetings to discuss the project and present recommendations. Meetings with the TAC will include a brief progress report of activities completed, activities in progress, and activities planned for the following month. The focus of the TAC meetings will involve a brief presentation of the deliverables and an in-depth discussion of the major points of the deliverables. The discussion at the TAC meetings will be summarized for the Executive Committee, and all comments on the deliverables will be addressed in the final documents.

2.3 Decision Making Process

One of the important aspects of this project is the consensus building process among the regional agencies. In addition, this project will help in defining and clarifying current roles and responsibilities and obtaining agreement about the areas in which the three regional agencies can better coordinate to achieve the goals of the freeway operations. The inventory process also will identify the areas where clear and accurate policies and practices are not available. These activities will lead to a better understanding of the current issues and identify the areas for better coordination.

Kimley-Horn plans to facilitate reaching agreements and building consensus on project goals, objectives and the Action Plan by clearly outlining the issues. The decision-making and consensus building process will be conducted through open discussions and clear articulation of the issues. Kimley-Horn will document these discussions and will assist the regional agencies in reaching an agreement or identifying issues for further investigation by the end of each meeting. To the extent possible, consensus will be developed at the Technical Advisory Committee, prior to taking the final recommendations to the Executive Committee.

Recognizing that unanimous approval of decisions is not always achievable, the following decision making ladder is recommended as the means to define consensus. Consensus will have been achieved when participants indicate they are at Levels 1 to 3: These levels are:

Level 1: "Yes, I agree with the group recommendation" – I am satisfied that the decision is an expression of the wisdom of the group and I say an unqualified "yes" to the decision.

Level 2: "Yes, I can live with the decision" – I find the decision to be acceptable among the best of the options that are available.

Level 3: "I do not fully agree with the decision" – I am not fully satisfied with the conclusions, and I am not especially enthusiastic about it; however, I do not oppose the decision. I am willing to support the decision because I trust the wisdom of the group.

Level 4: "I need additional information to make my decision" – I feel the group needs more time or information to make an informed decision. At this level, Kimley-Horn will develop additional information to respond to the question and will ask for a resolution at the next review meeting.

Level 5: "I do not agree with the decision" – I am not satisfied with the conclusions and I feel that I need to oppose this decision. At this level, Kimley-Horn will meet one-on-one with the party(ies) to reach a resolution on the issue.

3. PUBLIC AGENCY REVIEW PLAN

The Public Agency Review Plan defines the approach to obtain the participation of other public agencies in the project.

3.1 Public Agency Review Plan Goals

The Public Agency Review Plan should address the following major objectives:

- **Inform and update agencies:** Public agencies should be informed about the project and the activities of the three regional agencies.

- **Create a forum for input:** A forum should be created to provide opportunities for agency representatives to provide input into the process, which can be used to formulate the recommendations.
- **Promote buy-in:** The activities should create a sense of ownership in the process, which will promote buy-in of the recommendations affecting the local agencies' operations and coordination with the regional agencies.

3.2 Recommended Public Agency Review Plan

There are a variety of activities that can be undertaken to achieve the goals of the public agency review process. The public agency review plan is focused to obtain participation of the public agencies to achieve the project goals. In order to accomplish this, within a reasonable level of effort, Kimley-Horn recommends the following activities, in chronological order:

1. **Workshops:** Organize and conduct a series of workshops to work out solutions for more complicated issues that might arise. Workshops are intended to encourage participation of special interest groups, such as Congestion Management Agencies (CMA), local traffic engineers, etc.
2. **Fact Sheets:** As project progresses and new information is available, develop Fact Sheets to keep local agencies updated on project activities and recommendations. Fact Sheets would succinctly describe progress being made with the concept of operations and input can be solicited.
3. **Partnership Planning and Operations Committee meetings:** The Partnership Planning and Operations Committee is an on-going MTC activity that can be used to inform participants about the project. Agencies can be kept informed about the project and can provide input at these meetings.
4. **Arterial Operational Improvement Advisory Committee meetings:** The Arterial Operations Improvement Advisory Committee is another on-going MTC activity that is well attended by local traffic engineers. Agencies can be kept informed about the project and can provide input at these meetings.
5. **Post Project Presentations:** Upon the completion of the first phase of the ConOps project, present the resulting Action Plan to the public agencies through a series of meetings.

The proposed list of activities would meet the objectives of Public Agency Review Plan to inform and update agencies, create a forum for input, and promote buy-in of the recommendations. These activities would also facilitate the inventory process.

The Public Agency Review Plan process should begin after a consensus is reached by regional agencies on the Goals and Objectives Statement and the revised scope of services has been approved. This sequence will allow regional agencies to decide on the project goals and the desired level of agency review, prior to the commencement of these activities.

Table 2 summarizes the recommended activities and the frequency of the activities, intended audience, and areas of responsibility. The list of activities is summarized in expected chronological order.

Table 2 – Recommended Public Agency Review Activities

Approximate Target Date	Activity and Frequency	Intended Audience	Responsibilities
March 2001 June 2001 August 2001 October 2001	Workshops Four workshops	<ul style="list-style-type: none"> Interested public agencies 	<ul style="list-style-type: none"> Scheduling and invitation – MTC Coordination and facilitation – KHA
March 2001 June 2001 August 2001 October 2001	Fact Sheets Project Introduction Inventory Summary Draft Strategy Report and Architecture recommendations Action Plan Summary	<ul style="list-style-type: none"> All public agencies 	<ul style="list-style-type: none"> Development – KHA Printing – MTC Mailing list and distribution – MTC (200 copies for each issue)
February – December	Partnership Planning and Operations Committee meetings – status reports as appropriate	<ul style="list-style-type: none"> CMAs Transit agencies 	<ul style="list-style-type: none"> Arrangement and presentation – MTC, Caltrans, CHP
February – December	Arterial Operational Improvement Advisory Committee meetings – status reports as appropriate	<ul style="list-style-type: none"> Traffic engineers 	<ul style="list-style-type: none"> Arrangement and presentation – MTC, Caltrans, CHP
October 2001	Post Project Presentations Three meetings	<ul style="list-style-type: none"> Interested public agencies 	<ul style="list-style-type: none"> Arrangements – MTC Development and presentation – KHA

4. RECOMMENDATIONS

It is recommended that the regional agencies approve the following elements of the Public Agency Review Plan:

- Decision making and consensus building process as described in Section 2.3;
- Objectives of the Public Agency Review Plan in Section 3.1; and
- Public Agency Review Plan recommendations as described in Section 3.2.